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PATENT APPLICATION
Attorney's Do. No. 8514-50

OFFICE OF THE
REGISTER

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

2001 JUN 30 PM 2:54

US PATENT & TRADEMARK
OFFICE

In re application of:

PHILIP D. LAPSLEY; PHILIP J. GIOIA; MICHAEL KLEEMAN

Serial No. 09/871,241

Filed: May 30, 2001

For: BIOMETRIC FINANCIAL TRANSACTION SYSTEM AND METHOD

I HEREBY CERTIFY THAT THIS COR-
RESPONDENCE IS BEING DEPOSITED
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SERVICE AS FIRST CLASS MAIL IN AN
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TO COMMISSIONER OF PATENTS AND
TRADEMARKS, WASHINGTON D.C.
20231

☐ ASSISTANT COMMISSIONER FOR
PATENTS, WASHINGTON D.C. 20231

☐ ASSISTANT COMMISSIONER FOR
TRADEMARKS, 2900 CRYSTAL DRIVE,
ARLINGTON, VA 22202-3513

ON: 6/16/01
2001
[Signature]

Commissioner of Patents and Trademarks
Attn: Deposit Account Clerk
Washington, D.C. 20231

REQUEST FOR REFUND

The Monthly Statement dated 10/31/01 of Deposit Account No. 13-1703 (Exhibit A) reflects a charge of \$15 on October 5, 2001, under Control No. 154 as surcharge fees (code 205) in U.S. patent application Serial No. 09/871,241.

Enclosed is a copy of our Transmittal Letter (Exhibit B) transmitting missing parts; a copy of the Notice to File Missing Parts (Exhibit C) indicating that \$501 was due and a copy of our credit card authorization form PTO-2038 (Exhibit D) for \$501.

Subsequently, the amount due of \$501 was charged to our Visa account. Since \$65 was paid to the PTO, no additional surcharge fees should be due.

Therefore, we request that our Deposit Account No. 13-1703 be credited for the \$15 charged against it in error.

If you have any questions, please call the undersigned.



20575

PATENT TRADEMARK OFFICE

Respectfully submitted,

MARGER JOHNSON & McCOLLOM, P.C.

By

[Signature]
Alexander C. Johnson, Jr.
Reg. No. 29,396

1030 S.W. Morrison Street
Portland, Oregon 97205
Telephone: (503) 222-3613



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office

ACS

MONTHLY STATEMENT
OF DEPOSIT ACCOUNT

To replenish your Deposit Account, detach and
return top portion with your check. Make check
payable to Commissioner of Patents & Trademarks.

Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

| | |
|-------------|----------|
| Account No. | 131703 |
| Date | 10-31-01 |
| Page | 1 |

MARGER AND JOHNSON INC
1030 SW MORRISON STREET
PORTLAND OR 97205

FINA

PLEASE SEND REMITTANCES TO:
Patent and Trademark Office
P.O. Box 70541
Chicago, Ill. 60673

| DATE POSTED | | | CONTROL NO. | DESCRIPTION (Serial, Patent, TM, Order) | DOCKET NO. | FEE CODE | CHARGES/ CREDITS | BALANCE |
|-------------|-----|----|-------------|--|---------------|----------|---------------------|---------|
| DAY | YR. | | | | | | | |
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| 0 | 3 | 01 | 1 | 09525154 | 9898-148 | 102 | | 2691.00 |
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| 0 | 4 | 01 | 2 | 09240208 | 3561-38 | 116 | | 1404.00 |
| 0 | 4 | 01 | 32 | 09620018 | 4591-123 | 142 | | 164.00 |
| 0 | 4 | 01 | 202 | 09545691 | 1482-132 | 117 | | 130.00 |
| 0 | 5 | 01 | 10 | E-REPLENISHMENT | | 701 | | 5130.00 |
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| 0 | 15 | 01 | 9 | 09898699 | 9898-176 | 122 | | 4697.00 |
| 0 | 15 | 01 | 68 | 09882489 | 9898-159 | 103 | | 4659.00 |
| 0 | 16 | 01 | 1 | 09107187 | 2705-36 | 115 | | 4549.00 |
| 0 | 16 | 01 | 7 | 09898699 | 9898-176 | 122 | | 4679.00 |
| 0 | 16 | 01 | 9 | 29143229 | 5869-10 | 106 | | 4689.00 |
| 0 | 16 | 01 | 13 | 29143229 | 5869-10 | 105 | | 4679.00 |
| 0 | 16 | 01 | 20 | 09878151 | 5869-9 | 101 | | 4657.00 |
| 0 | 16 | 01 | 47 | 60328756 | 7293-32 | 114 | | 4647.00 |

AMOUNT SUFFICIENT TO
COVER ALL SERVICES REQUESTED
MUST ALWAYS BE ON DEPOSIT.

OPENING BALANCE

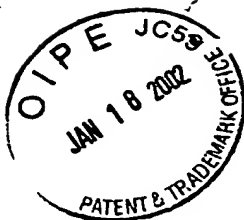
TOTAL CHARGES

TOTAL CREDITS

CLOSING BALANCE

EXHIBIT A

*** 00 INDICATES OVERDRAWN



PATENT APPLICATION
Attorney's Do. No. 8514-50

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of:

PHILIP D. LAPSLEY; PHILIP J. GIOIA; MICHAEL KLEEMAN

Serial No. 09/871,241

Filed: May 30, 2001

For: BIOMETRIC FINANCIAL
TRANSACTION SYSTEM AND METHOD

TRANSMITTAL LETTER

Box Missing Parts
Assistant Commissioner for Patents
Washington, D.C. 20231

I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE AS FIRST CLASS MAIL IN AN ENVELOPE ADDRESSED TO:

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☒ ASSISTANT COMMISSIONER FOR PATENTS, WASHINGTON D.C. 20231

☐ ASSISTANT COMMISSIONER FOR TRADEMARKS, 2900 CRYSTAL DRIVE, ARLINGTON VA 22202-3000

ON: 28 Sept 2001

[Signature]
COPY

Enclosed for filing in the above-referenced application are the following:

- ☒ Copy of Notice to File Missing Parts
- ☒ Filing Fee
- ☒ Applicant claims small entity status (see 37 CFR 1.27)
- ☒ Declaration
- ☒ Power of Attorney with copy of Assignment recorded in priority application Serial No. 60/208,680
- ☒ Surcharge for Late Filing of Fee or Oath or Declaration
 - ☒ \$65 - Small Entity
- ☒ PTO Form 2038 authorizing credit card payment for the above-listed fees is enclosed.
- ☒ Any deficiency or overpayment should be charged or credited to deposit account number 13-1703. A duplicate copy of this sheet is enclosed.



20575

PATENT TRADEMARK OFFICE

Respectfully submitted,

MARGER JOHNSON & MCCOY, P.C.

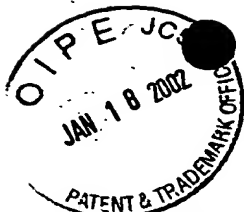
By *[Signature]*
Alexander C. Johnson, Jr.
Reg. No. 29,396

1030 S.W. Morrison Street
Portland, Oregon 97205
Telephone: (503) 222-3613

cc: Michael J. Biber, Esq. (w/o enclosures)
Philip D. Lapsley (w/o enclosures)

EXHIBIT-B

COPY



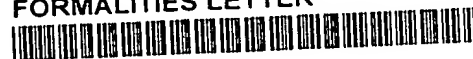
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WASHINGTON, D.C. 20231
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| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/871,241 | 05/30/2001 | Philip D. Lapsley | 8514-50 |

CONFIRMATION NO. 8211

FORMALITIES LETTER



OC00000006371857

MARGER JOHNSON & McCOLLOM, P.C.
1030 S.W. Morrison Street
Portland, OR 97205

Date Mailed: 08/01/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$81.
 - \$81 for 9 total claims over 20.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 501.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

COPY

EXHIBIT C